

PERSONAL LICENSE APPLICATION FORM

ATTENTION!

- Closely read enclosed Personal License Conditions.
- Closely read the Casino License Conditions (an integral part of the Casino License Application Form).
- For the purposes of this form the casino license holder is understood to be:
 - the legal person of the casino license holder, or
 - the legal person who has applied for the casino license, if the application for the underlying casino license is still under consideration.
- Application forms filled out incompletely or incorrectly, or application forms that are not accompanied by the required documents, will not be considered.
- No rights can be derived from the application form.

Signature

With your signature you assert:

1. that you are hereby applying for a personal license as referred to in article 9 of the National Ordinance Curacao Casino Sector (O.B. 1999, 97) for reasons stated in this application form, pertaining to the casino license that is (to be) granted for the operation of the casino, incorporated in the hotel building indicated in this application form,
2. that this application was completed truthfully, and
3. that you are aware of your responsibilities and will comply with all relevant legal and license requirements.

If, after issuance of the personal license, it is found that incorrect or incomplete data has been provided that has influenced the decision to grant the license, the license can be withdrawn pursuant to article 13, first paragraph, subsection a, of the National Ordinance Curaçao Casino Sector (O.B. 1999, 97).

Applicant name:

Place:

Date:

Signature:

To be filled out by the Gaming Control Board:



I. THE APPLICANT: NATURAL PERSON

Information regarding the applicant for the personal license, being a natural person.

Personal information

Surname:

First name and initials:

Previous name(s):

Date of birth:

Place of birth:

Home address:

Nationality:

Obtained by: Birth
 Marriage
 Naturalization
 Other,

Previous nationality:

Obtained by: Birth
 Marriage
 Naturalization
 Other,

Passport number:

Place of issue:

Date of issue:

Issued by (country):

Present employer:

Type of business:

Current position:

Employment start date:

Contact information

Telephone number:

Fax number:

Email:

Documents to be submitted:

- *Authenticated high resolution color copy of valid passport.*

II. THE APPLICANT: LEGAL PERSON

Information regarding the applicant for the personal license, being a legal person.

Company information

Official name:	
Trade name:	
Legal structure of the corporate body:	
Business address:	

Primary contact information

Contact name:	
Position:	
Telephone number:	
Fax number:	
Email:	

Documents to be submitted:

- *Certificate of Registration in the Trade Register of the Chamber of Commerce;*
- *Business Permit of the applicant;*
- *Shareholders Register of the applicant;*
- *The organizational structure, up to and including all Ultimate Beneficial Owners (UBOs). UBO refers to the natural person(s), who ultimately owns or controls the legal person and/or the natural person on whose behalf a transaction is being conducted*
- *Authenticated high resolution color copy of valid passport of the company representative.*

III. THE CASINO LICENSE

Information regarding the casino and the casino license to which this personal license pertains [1].

Casino license holder or applicant:	
Casino license number (if already granted):	
Casino name:	
Hotel name:	

IV. REASONS FOR THE PERSONAL LICENSE APPLICATION

Check at least one.

- The applicant is a natural person who has a financial interest in the casino license holder [2.1].
Nature of the financial interest: _____
- The applicant is the legal person that has a financial interest in the casino license holder [2.2a].
Nature of the financial interest: _____
- The applicant is a natural person who has a financial interest in a legal person that has a financial interest in the casino license holder [2.2b].
Name of the legal person: _____
Nature of the financial interest: _____
- The applicant is a legal person who has a financial interest in a legal person that has a financial interest in the casino license holder [2.2b].
Name of the legal person: _____
Nature of the financial interest: _____
- The applicant is the legal person that conducts the operation of the casino (the casino operator) [2.3].
Please refer to the Casino License Application Form for the information and documentation to be submitted.
- The applicant is the natural person who has a financial interest in the casino operator [2.4].
Name of the casino operator: _____
Nature of the financial interest: _____
- The applicant is the legal person who has a financial interest in the casino operator [2.5a].
Name of the casino operator: _____
Nature of the financial interest: _____
- The applicant is the natural person who has a financial interest in a legal person that has a financial interest in the casino operator [2.5b].
Name of the legal person: _____
Nature of the financial interest: _____
Name of the casino operator: _____
- The applicant is the legal person who has a financial interest in a legal person that has a financial interest in the casino operator [2.5b].
Name of the legal person: _____
Nature of the financial interest: _____
Name of the casino operator: _____

Documents to be submitted:

Copies of the documents pertaining to the legal person, clarifying the financial interest of the applicant in the legal person, or a description of such financial interest.

V. OTHER QUESTIONS

When answering the questions below in a separate document, please use the same reference numbers.

1. Has any organization in which you are or was responsible for the day-to-day management or for the policy, been in financial problems? Yes No
If so, please explain and state, among other things, the name of the organization, the nature of the financial problems, your involvement in this connection and the position occupied by you.
2. Have you been in financial problems during the past eight years? Yes No
Have these problems led to a case in court? Yes No
If so, please explain.
3. Has there been any petition for, or any sentence to the effect of a moratorium or bankruptcy during the past eight years with regard to you, a corporate body in which you have or had a financial interest, or an organization in which you are or was responsible for the day-to-day management or for the policy? Yes No
If so, explain and state, among other things, your involvement, the financial circumstances and the relevant dates.
4. Are your private financial obligations proportionate to your income and/or financial position? Yes No
If not, please explain.
5. Are you addicted to drugs, alcohol or gaming? Yes No
5a If so, have you ever been treated in connection herewith? Yes No
5b If so, when, how long and with what result?
6. Have you ever been rejected for, suspended or dismissed from any function or position of trust? Yes No
If so, please state name and address of the organization, the function or position of trust involved, date and reason.
7. Have you been sentenced during the past eight years, in or outside Curaçao, to pay overdue claims on account of liability for the bankruptcy of any business, organization or corporate body? Yes No
If so, please state, among other things, your involvement and on what grounds you were found to be liable.
8. Have you been granted a personal license before? Yes No
If so, please state the number of the casino license to which the personal license is or was related, the number of the relevant personal license, the dates of issue and, if the relevant license is no longer valid, the grounds for the expiration of its validity.

9. Have you ever been denied a personal license or has any personal license granted to you been cancelled? Yes No

If so, please supply all due information and the grounds for rejection or cancellation.

10. Have you ever been involved, as a suspect or otherwise, in any criminal prosecution in or outside Curaçao? Yes No

If so, in what capacity, when, for what reason, what were the charges, what was the result of the case and, if it gave rise to a sentence against you, what punishment was imposed on you and why?

11. In what other organizations, businesses or corporate bodies do you have a financial interest? State names, nature of the financial interest, dates, positions.

12. In what other organizations, businesses or corporate bodies are you responsible for the day-the-day management? State names, nature of the organization, business or corporate body, dates, positions.

13. Are you under an obligation to execute or follow orders or instructions of third parties with regard to your direct or indirect financial interest in the corporate body of the casino license holder, or in the operation of the casino? Yes No

If so, please explain and state, among other things, the nature of such involvement and the name or names of such third party or parties.

14. State three references.
Include in your information names, positions, addresses, telephone and/or fax numbers and the relationship between this person and the applicant. This should include your last employer but one, unless you left the latter's service more than 8 years ago.
You should make sure that the persons stated by you are willing to act as references.
Excluded as references are blood-relations and relatives to the third degree, the life partner (including the spouse) and former life partner of the applicant, persons subject to a professional obligation of secrecy, and persons who are financially dependent on the applicant.

15. Do you know any other fact or data that could possibly influence the evaluation of your application? Yes No

If so, please state such facts and data and provide all relevant information required.

VI. REQUEST TO RELEASE INFORMATION

When answering the questions below in a separate document, please use the same reference numbers.

In consideration of article 3 of the National Ordinance Curaçao Casino Sector (O.B. 1999, 97) and in consideration of the application of:

PRINT LEGAL NAME OF APPLICANT HERE

for a license, permit, certification or other approval as contemplated in article 10 of the National Ordinance Curaçao Casino Sector (O.B. 1999,97).

The undersigned hereby authorizes the Gaming Control Board, or any other agency or institution acting on its behalf, to process, investigate or to undertake any other action in regard to the above-referenced application.

The undersigned hereby authorizes and requests all persons and entities to whom this request is presented, having information relating to or concerning me to furnish such information, including the review and copying of documents.

I the undersigned, have read and understand this authorization. I execute it voluntarily and with full knowledge of its significance.

Name:

Place and Date:

Signature:

VII. CHECKLIST OF INITIAL DOCUMENTS TO BE SUBMITTED

Please note that this listing is not limitative. The Gaming Control Board reserves the right to request additional documentation and information when deemed necessary.

Nr.	Description	Check
Personal License Applicant: Natural Person		
1	Completed and duly signed Personal License Application Form.	
2	Authenticated high resolution color copy of valid passport.	
3	Copies of the documents pertaining to the legal person, clarifying the financial interest of the applicant in the legal person, or a description of such financial interest.	
Personal License Applicant: Legal Person		
4	Completed and duly signed Personal License Application Form.	
5	Certificate of Registration in the Trade Register of the Chamber of Commerce.	
6	Business Permit of the applicant.	
7	Shareholders Register of the applicant.	
8	The organizational structure, up to and including all Ultimate Beneficial Owners (UBOs). UBO refers to the natural person(s), who ultimately owns or controls the legal person and/or the natural person on whose behalf a transaction is being conducted.	
9	Copies of the documents pertaining to the legal person, clarifying the financial interest of the applicant in the legal person, or a description of such financial interest.	

PERSONAL LICENSE CONDITIONS

The conditions to be met to be eligible for a personal license.

In order to be eligible for a personal license, the following conditions are to be met:

1. General information.

1.1 The applicant is the (natural or legal) person, who wants to be eligible for a personal license as referred to in article 9 of the National Ordinance Curaçao Casino Sector (OB, 1999, 97 as amended), hereafter NOCCS, due to his financial interest:

- a) in the legal person, who has been issued a specific casino license, or
- b) in the operation of a specific casino.

1.2 The personal license always pertains to one specific casino license.

1.3 If this personal license is requested due to a financial interest in the casino license holder, then the personal license pertains to the casino license, held by said casino license holder.

Note: For the purposes of this form, "casino license holder" means:

- a) the legal person, holding a casino license, or
- b) if the application for the casino license, to which the requested personal license pertains, is still being processed: the legal person, who has applied for a casino license.

1.4 If the personal license is requested due to a financial interest in the legal person responsible for the operation of the casino (casino operator), then the personal license pertains to the casino license, that permits the operation of said casino.

1.5 A personal license is not required for employees of the casino license holder.

1.6 Natural persons or legal persons who (in the opinion of the Gaming Control Board) can be regarded as persons with influence on the acts or omissions of the casino license holder must form no objection to granting the applicant a casino license.

2. Conditions regarding the applicant for a personal license.

Application due to a financial interest in the casino license holder.

2.1 If the applicant is a natural person who has a financial interest in the casino license holder, a personal license will be granted only if his actions and antecedents do not give rise to reasonable suspicion of inappropriate use of (the organization of) the casino license holder.

2.2 If the applicant is a legal person who has a financial interest in the casino license holder:

- a) a personal license will be granted only if his actions and antecedents do not give rise to reasonable suspicion of inappropriate use of (the organization of) the casino license holder, and
- b) then every person who has a financial interest in this legal person, is considered to have a financial interest in the casino license holder, and a personal license is required for this person as well.

This reasoning is to be followed until each financially interested party has been traced back to the financially interested natural persons.

Such applicant will be granted a personal license only if his actions and antecedents do not give rise to reasonable suspicion of inappropriate use of (the organization of) the casino license holder.

Application due to a financial interest in the operation of the casino.

- 2.3 If the applicant is the proposed casino operator:
- a) a personal license will be granted only if actions and antecedents do not give rise to reasonable suspicion of inappropriate use of the legal person of the operator of the casino., and
 - b) then every person who has a financial interest in the legal person of the casino operator, is considered to have a financial interest in the operation of the casino, and a personal license is required for this person as well (see 2.4 and 2.5).

Note: The casino operator employs a person responsible for the day-to-day management (casino manager). The written agreement between the casino operator and the casino manager by virtue of which the casino manager conducts the day-to-day management of the casino, must prohibit the casino manager to grant credit to residents of Curaçao.

- 2.4 If the applicant is a natural person who has a financial interest in the casino operator, he will be granted a personal license only if his actions and antecedents do not give rise to reasonable suspicion of inappropriate use of the legal person of the casino operator.
- 2.5 If the applicant is a legal person who has a financial interest in the casino operator:
- a) a personal license will be granted only if his actions and antecedents do not give rise to reasonable suspicion of inappropriate use of the legal person of the casino operator, and
 - b) then every person who has a financial interest in such legal person, is considered to have a financial interest in the operation of the casino, and a personal license is required for this person as well.

This reasoning is to be followed until each financially interested party has been traced back to the financially interested natural persons.